

**A****UTILITY PATENT APPLICATION TRANSMITTAL**  
**(Large Entity)***(Only for new nonprovisional applications under 37 CFR 1.53(b))*Docket No.  
P-5350Total Pages in this Submission  
3**TO THE ASSISTANT COMMISSIONER FOR PATENTS**Box Patent Application  
Washington, D.C. 20231

Transmitted herewith for filing under 35 U.S.C. 111(a) and 37 C.F.R. 1.53(b) is a new utility patent application for an invention entitled:

**METHOD AND APPARATUS FOR DYNAMIC COMMAND EXTENSIBILITY IN AN INTELLIGENT AGENT**

and invented by:

**ABBOTT, Aaron ; SCHUMACHER, Dale ; PETERSON, Brett**If a **CONTINUATION APPLICATION**, check appropriate box and supply the requisite information:☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: \_\_\_\_\_

Which is a:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: \_\_\_\_\_

Which is a:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: \_\_\_\_\_

Enclosed are:

**Application Elements**

1. ☒ Filing fee as calculated and transmitted as described below
2. ☒ Specification having 12 pages and including the following:
  - a. ☒ Descriptive Title of the Invention
  - b. ☐ Cross References to Related Applications *(if applicable)*
  - c. ☐ Statement Regarding Federally-sponsored Research/Development *(if applicable)*
  - d. ☐ Reference to Microfiche Appendix *(if applicable)*
  - e. ☒ Background of the Invention
  - f. ☒ Brief Summary of the Invention
  - g. ☒ Brief Description of the Drawings *(if drawings filed)*
  - h. ☒ Detailed Description
  - i. ☒ Claim(s) as Classified Below
  - j. ☒ Abstract of the Disclosure

# UTILITY PATENT APPLICATION TRANSMITTAL (Large Entity)

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Docket No.  
P-5350

Total Pages in this Submission  
3

## Application Elements (Continued)

3. ☒ Drawing(s) (when necessary as prescribed by 35 USC 113)
- a. ☐ Formal Number of Sheets \_\_\_\_\_
- b. ☒ Informal Number of Sheets 6
4. ☒ Oath or Declaration
- a. ☐ Newly executed (original or copy) ☒ Unexecuted
- b. ☐ Copy from a prior application (37 CFR 1.63(d)) (for continuation/divisional application only)
- c. ☐ With Power of Attorney ☐ Without Power of Attorney
- d. ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s) named in the prior application,  
see 37 C.F.R. 1.63(d)(2) and 1.33(b).
5. ☐ Incorporation By Reference (usable if Box 4b is checked)  
The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.
6. ☐ Computer Program in Microfiche (Appendix)
7. ☐ Nucleotide and/or Amino Acid Sequence Submission (if applicable, all must be included)
- a. ☐ Paper Copy
- b. ☐ Computer Readable Copy (identical to computer copy)
- c. ☐ Statement Verifying Identical Paper and Computer Readable Copy

## Accompanying Application Parts

8. ☐ Assignment Papers (cover sheet & document(s))
9. ☐ 37 CFR 3.73(B) Statement (when there is an assignee)
10. ☐ English Translation Document (if applicable)
11. ☐ Information Disclosure Statement/PTO-1449 ☐ Copies of IDS Citations
12. ☐ Preliminary Amendment
13. ☒ Acknowledgment postcard
14. ☒ Certificate of Mailing
- ☐ First Class ☒ Express Mail (Specify Label No.): EM143913175US

# UTILITY PATENT APPLICATION TRANSMITTAL (Large Entity)

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## Accompanying Application Parts (Continued)

15. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)

16. ☐ Additional Enclosures (please identify below):

## Fee Calculation and Transmittal

### CLAIMS AS FILED

For	#Filed	#Allowed	#Extra	Rate	Fee
Total Claims		- 20 =	0	x \$22.00	\$0.00
Indep. Claims		- 3 =	0	x \$82.00	\$0.00
Multiple Dependent Claims (check if applicable) <input type="checkbox"/>					\$0.00
BASIC FEE					\$760.00
OTHER FEE (specify purpose) Fee For Late Filing of Declaration					\$130.00
TOTAL FILING FEE					\$890.00

- ☒ A check in the amount of \$890.00 to cover the filing fee is enclosed.
- ☒ The Commissioner is hereby authorized to charge and credit Deposit Account No. 18-2284 as described below. A duplicate copy of this sheet is enclosed.
- ☐ Charge the amount of as filing fee.
- ☒ Credit any overpayment.
- ☒ Charge any additional filing fees required under 37 C.F.R. 1.16 and 1.17.
- ☐ Charge the issue fee set in 37 C.F.R. 1.18 at the mailing of the Notice of Allowance, pursuant to 37 C.F.R. 1.311(b).

Dated:

12/24/18

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE  
APPLICATION FOR UNITED STATES LETTERS PATENT

INVENTORS:

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Brett PETERSON

TITLE:

Method and Apparatus for Dynamic Command  
Extensibility in an Intelligent Agent

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## METHOD AND APPARATUS FOR DYNAMIC COMMAND EXTENSIBILITY IN AN INTELLIGENT AGENT

### BACKGROUND OF THE INVENTION

The present invention relates to software system architecture, and in particular to a method of providing dynamic extensibility of software components, such as object classes.

In a traditional computing environment, executable components make requests of other executable components. In some instances, knowing which requests a component supports is built directly into all components that may make requests of it. In other cases, a component may provide the ability to answer queries about the requests that it supports. The latter case has the advantage of not requiring all potential clients to possess complete knowledge of the supported operations of all other components. This is well known and well understood technology.

Traditionally, when a component receives a request that it does not recognize, it responds by sending an error back to the calling component. This often results in the calling component cascading the error up the call chain until the application fails.

Systems such as Common Lisp, SmallTalk, and Forth provide dynamic binding of software components. However, such systems perform such dynamic binding at installation or class definition time, before the components are actually required. Thus, a large resource footprint is required.

A Domain Name Server (DNS) has the ability to pass on a request to resolve a Domain Name to a more knowledgeable server. However, DNS's do not have the ability to upgrade their

functionality if they receive a request in a format they cannot process, but simply pass a domain name on if it is not in the list it has stored.

The CORBA Dynamic Invocation Interface (DII) and Dynamic Skeleton Interface (DSI) allow the dynamic dispatch of requests on software components, so that changes to other components can be utilized at runtime; however, they do not cover the dynamic extensibility of executable content in a server component. The server component will return an error if it receives a request it cannot process.

## STATEMENT OF INVENTION

The present invention provides a method and apparatus whereby a software component can dynamically update its supported requests, rather than sending an error when a request is not understood. From the calling component's perspective, the request appears to be filled in a standard manner and no error is returned. This has the significant benefit of reducing unnecessary application failure.

The present invention further provides a method and apparatus whereby, when a request from a client is not understood, a software component searches on further remote servers on which appropriate upgraded software components might be found, thereby to fulfill the request without returning an error.

## BRIEF DESCRIPTION OF THE DRAWINGS

FIGURE 1 shows apparatus arranged to implement the system of a first embodiment of the invention.

FIGURE 2 is an interaction diagram illustrating the flow of control of an example the first embodiment.

FIGURE 3A shows apparatus in accordance with a second embodiment of the invention.

FIGURE 3B shows the functionality of the apparatus shown in Figure 3A.

FIGURE 4 shows apparatus in accordance with a third embodiment of the invention.

FIGURE 5 shows apparatus in accordance with a fourth embodiment of the invention.

### **DETAILED DESCRIPTION**

Several embodiments of the invention are described hereinafter with reference to Figures 1-5. These embodiments all operate in an environment where a request can be dynamically constructed by a client at run time and issued to a server for processing. This is in contrast to compiled-language systems, where requests are created statically at compile time, and usually are validated against a statically defined interface. Instead, it is assumed that a server may change its interface, and a client may change its requests, at any time and independent of each other. In this situation, clients must be prepared for servers to reject any request, even if it was previously processed successfully. Each embodiment adds a mechanism to locate and load implementations to handle client requests for previously unknown commands. This allows the successful completion of requests that would have otherwise failed.

A first embodiment of the invention is shown in Figures 1 and 2. This specific embodiment of the invention operates in an object based operating environment, although other embodiments of the invention might operate in other software environments in which a component can be acted upon by client components, for example using parameters, qualifiers or methods. Object based software environments are well known, and many software environments are based around an

object model. In such environments, object classes are defined, each having a set of methods. A hierarchy of object classes will often be provided, with subclasses having all the methods and features of their parent classes, as well as further methods and features. Software components can generate object instances of defined classes which can be acted on independently. Many instances of the same object might exist at the same time, each acting independently. Objects which invoke methods on another object act as client objects, and objects having methods being invoked act as server objects. As shown in Figure 1, objects 12, 14, 18 communicate with one another via an interface 20. The nature of the interface will vary depending on the architecture of the system. It might for example allow communication between objects across a network using appropriate protocols. A server request interceptor (SRI) 16 associated with each of the objects, intercepts requests made to the associated object as shown by a dotted line in Figure 1.

Fig 2 is a Unified Modeling Language (UML) interaction diagram describing the general design of the dynamic request apparatus and illustrates the flow of control with an example.

In the diagram shown in Figure 2, client 12 makes a request called "foo()" on the Server component 14. This request might include various parameters, which might be of different data types. Unknown to the Client, SRI 16 shown in Figure 1 intercepts the request. It queries its list 162 of requests that it knows the Server component currently supports (referred to as a know() call). If "know(foo)" returns false, the Server Request Interceptor makes a request ("get(foo)") to a master Request Archive Server (RAS) 18 which contains executable components for all requests supported in the system. If the request has arguments which are incompatible with the requests, in this case foo(), which the component can handle, a request is made to the Request Archive Server 18 to see if a new version of foo() exists which can handle the request. The Request Archive Server finds the executable component associated with foo() (if it exists) and sends it to the Server component 14 using the "hereis(foo)" call. The Request Archive Server also sends a success response to the get(foo) command to the Server Request Interceptor 16, and should also send a copy of the requests supported by the updated foo() on the server so that the Service Request Interceptor can add them to its list 162 of supported requests. The Server Request Interceptor 16



then invokes the foo() request on the Server component (knowing that the Server now supports foo()) on behalf of the Client component 12 via the invoke(foo) call. After the invoke(foo) invocation returns, the Server Request Interceptor 16 returns any appropriate values to the Client component 12. From the Client's perspective, the dynamic retrieval of executable content is hidden. The Request Archive Server 18 need not be a single entity; it may be a distributed network of resources. It is presented as a singular entity in this example for simplicity only. For example, the server component might provide access to objects in dynamic link library files. Dynamic link library files provide functions that can be linked to a program at run-time, so that they don't waste memory when they are not being used. If a dynamic link library file is not available for linking to a program at run-time, or if the accessed dynamic link library file does not provide appropriate functionality to satisfy the request, a search is made for the dynamic link library file or an updated version thereof. A search might, for example, be made to find files on a server located at another location on a network

Further embodiments of the invention, which operate in a similar manner to the embodiment of Figure 1, and can incorporate the same components and architecture, are hereinafter provided with reference to Figures 3-5.

A second embodiment of the invention is implemented in a command shell environment, as shown in Figure 3A. In a traditional command line shell 24 stored in memory 22 on a computer 21 (e.g.: the UNIX Bourne shell or COMMAND.COM in MS-DOS), a request is composed by a client as a line of text, issued directly by a user, read from a script, or issued by an executable component on the system which might have spawned the shell instance. The shell command interpreter 26 in this instance acts as the server, and the typical request is execution of a program 25 stored in long term storage 29 optionally with command line parameters. The command interpreter has a certain vocabulary of requests that it understands. This vocabulary consists of a group of internally implemented commands, and externally available programs, usually stored in a designated group of directories. The vocabulary can be extended by adding external programs 25 to the appropriate directories. With command interpreters prior to the present invention, if a

request does not correspond to an internal command or an external program 25, the command interpreter would respond with an error message indicating that the request could not be satisfied.

As shown In Figure 3B, according to this second embodiment of the invention, an extension mechanism would be provided that intercedes when a request is not part of the vocabulary of the command shell. The set of directories searched by the command shell, called the *path*, is viewed as a *cache* of available programs. When a request is made for a program that is not "in cache", the extension mechanism of this embodiment of the invention searches one or more network or archival sources 28, outside the scope of the command interpreter's search, to locate the program. If the program is located, it is brought "into cache" by copying the program into the path used by the command interpreter. Once the program is "cached", the original request can be reissued as if the program was there when the initial request was made.

With this mechanism in place, external policies can be defined to expire a command and remove it from the cache, expecting that it can be replaced later, if needed. One such policy might remove programs that have not been used recently. Another might compare version numbers and expire programs that are out of date relative to their reference source, or refresh them automatically when a newer version is available. These policies interact with, and depend on, the dynamic command extension mechanism, but are not part of the mechanism itself.

In a third embodiment of the invention, shown in Figure 4, on the server side of a client/server system, a protocol interpreter reads requests, invokes server functions to process them, and returns results to the client. The vocabulary of the server is often defined by the protocol, and is implicitly understood by the client. The client prepares a request, transmits it to the server, and waits for a response. If the client requests an operation that is not understood by the server, the server responds with an appropriate error indicating that the request could not be satisfied. In some cases, this response indicates that the server and client are not using the same version of the protocol.

1 The third embodiment provides an extension mechanism that allows the client and server  
2 protocols to evolve independently along a backward compatible upgrade path. A client 32 creates  
3 a request for an operation based on the vocabulary it expects from a server 34 (the protocol). A  
4 protocol interpreter attempts to find a method (implementation of functionality) that corresponds  
5 to the requested operation. If the operation is part of the server's vocabulary, the corresponding  
6 method is invoked, and the results are returned, as usual. If the operation is not already part of the  
7 server's vocabulary, one or more network or archival sources 38 are searched to locate a method  
8 for this operation. If an appropriate method is found, it is loaded into the server's vocabulary,  
9 associated with this operation, and invoked as if it was present when the initial request was made.  
10 In this way servers may be dynamically extended to process requests made by upgraded clients,  
11 allowing clients and servers to evolve gracefully.

12 A fourth embodiment of the invention is shown in Figure 5, and is implemented in a  
13 distributed system, such as CORBA. In such a system, clients 42 may dynamically construct  
14 operation requests for execution by a server object. In a CORBA based environment, the Dynamic  
15 Invocation Interface (DII) is used to effect this capability. The ORB maps the operation request to  
16 a method in an object implementation on the server side.

17 According to this embodiment, an extension mechanism provides just-in-time loading of  
18 object implementation methods to service client operation requests. If a client 42 requests an  
19 operation that is not available from a server object 44, the Object Request Broker invokes a  
20 searching component 48 external to the ORB to locate a suitable method implementation on a  
21 server 49 somewhere on the system. If such a method is found, it is associated with this operation  
22 and invoked in the normal way. Otherwise the operation fails as it normally would when an  
23 operation is not found.  
24  
25

26 To intercede in the ORB operation/method resolution mechanism, ORB vendor specific  
27 interfaces must be used. Many vendors provide interceptor mechanisms that would allow  
28 implementation of this dynamic extension technique.

The present invention could be implemented in a component based system architecture. In such an architecture, communities of loosely coupled services cooperate to provide system functionality. The number and nature of these services will vary greatly over time, as the system evolves. The flexibility of such an evolving system is enhanced by providing an extension mechanism that automatically tries to locate and obtain implementations of services when they are requested.

A client makes a local request for a connection to a specific service. The local service manager has a set of services that it knows about directly. If the service is already present, the connection is made and returned to the client. If the service is not present, a dynamic extension mechanism, which might be part of the Local Service Manager, or an independent component activated by the Local Service Manager, searches for an implementation of the requested service. If an implementation can be found, it is loaded by the service manager and the connection process proceeds as if the service were already present. Service versioning can be provided, if desired, by including some version information in the service identifier, effectively making the new version appear as a new and different service. Removal of old unused service implementations is an administrative issue beyond the scope of the dynamic extension mechanism.

While preferred embodiments of the present invention have been illustrated and described, it will be understood by those of ordinary skill in the art that changes and modifications can be made without departure from the invention in its broader aspects. Various features of the present invention are set forth in the following claims.

WHAT IS CLAIMED IS:

1. A computer system comprising  
a client component;  
5 a server component, said client component arranged to make requests to said server component;  
means maintaining a representation of requests which can be satisfied by said server;  
a request intercepting component, arranged to intercept requests from said client component to said server component, and to establish from said representation if a request is supported by the  
10 server; wherein  
said request intercepting component is arranged to search external sources to locate and provide to said server additional functionality if required for said server to support said request if said request is not supported;  
said request intercepting component thereafter passing the request on to said server to execute.  
15
2. A computer system in accordance with Claim 1 wherein said client and server components comprise objects in one or more computer programs.
- 20 3. A computer system in accordance with Claim 2 wherein said server component comprises an object represented in a dynamic link library file, and wherein said request intercepting component searches for said dynamic link library file, or an updated version of said dynamic link library file if a current version of said dynamic link library file held on said computer system does not provide the functionality of said server component.
- 25 4. A computer system in accordance with Claim 1 wherein the client component comprises a software program, the server component comprises an operating system shell called by the software component, and the request intercepting component is a command interpreter.

5. A computer system in accordance with Claim 1 wherein computer system is a CORBA distributed system, wherein said client and server components are objects on said system and wherein said request intercepting component is in Object Request Broker.

5 6. A computer system comprising  
a client component;  
a server component, said client component arranged to make requests to said server  
component;  
means including a representation of requests which can be satisfied by said server;  
10 means for intercepting requests from said client component to said server component, and  
for establishing from said representation if a request is supported by the server; said intercepting  
means being arranged to search external sources to locate and provide to said server additional  
functionality required for said server to support said request if said request is not already  
supported; and for thereafter passing the request on to said server to execute.

15 7. A computer system in accordance with Claim 6 wherein said client and server components  
comprise objects in one or more computer programs.

20 8. A computer system in accordance with Claim 7 wherein said server component comprises  
an object represented in a dynamic link library file, and wherein said request intercepting  
component searches for said dynamic link library file, or an updated version of said dynamic link  
library file if a current version of said dynamic link library file held on said computer system does  
not provide the functionality of said server component.

25 9. A computer system in accordance with Claim 6 wherein the client component comprises  
a software program, the server component comprises an operating system shell called by the  
software component, and the request intercepting component is a command interpreter.

10. A computer system in accordance with Claim 6 wherein computer system is a CORBA distributed system, wherein said client and server components are objects on said system and wherein said request intercepting component is in Object Request Broker.

CHIDOC

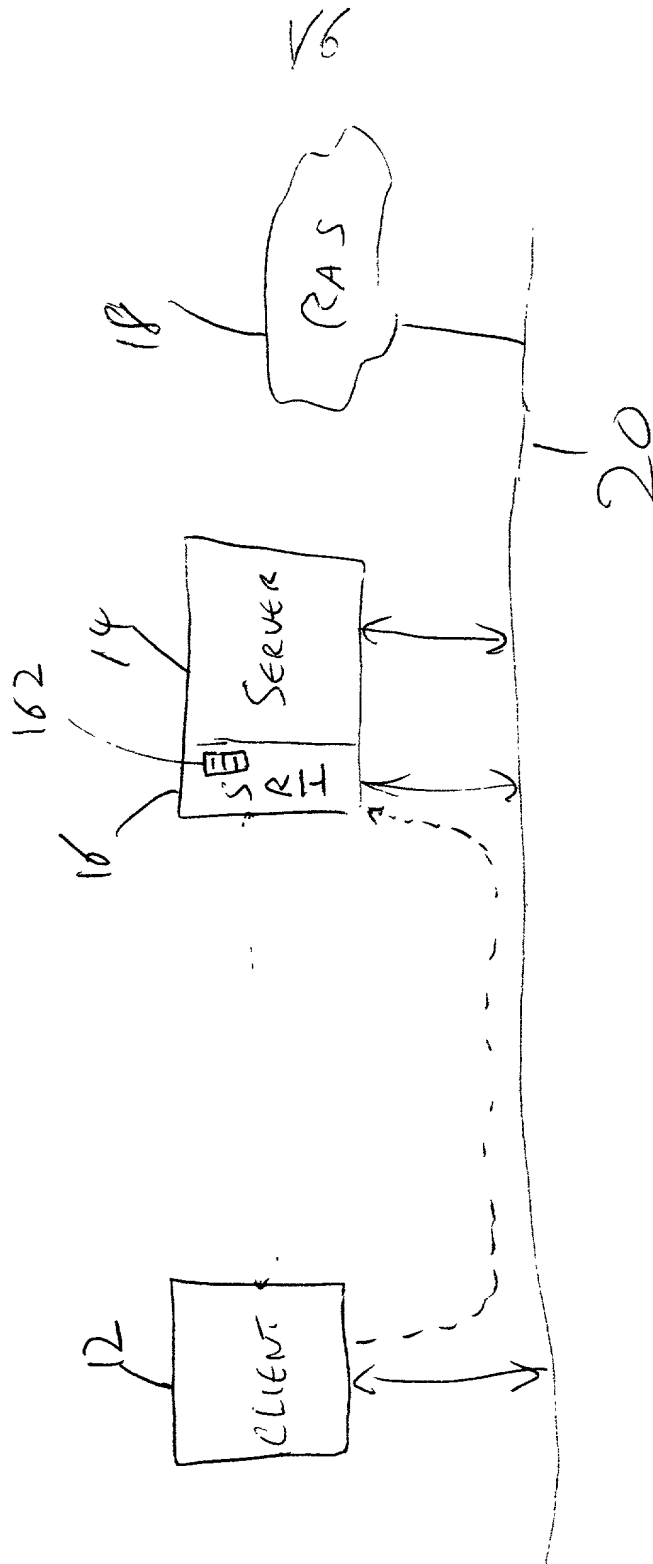
## ABSTRACT OF THE DISCLOSURE

- 5 A system is provided whereby software components acting as servers can be upgraded or installed when new functionality is required without client components which have made requests to these components being made aware of the upgrade initiated by their request. The servers can then respond to requests which would otherwise have caused errors in the client components.

CHIDOC



FIG 1



2/6

SECRET

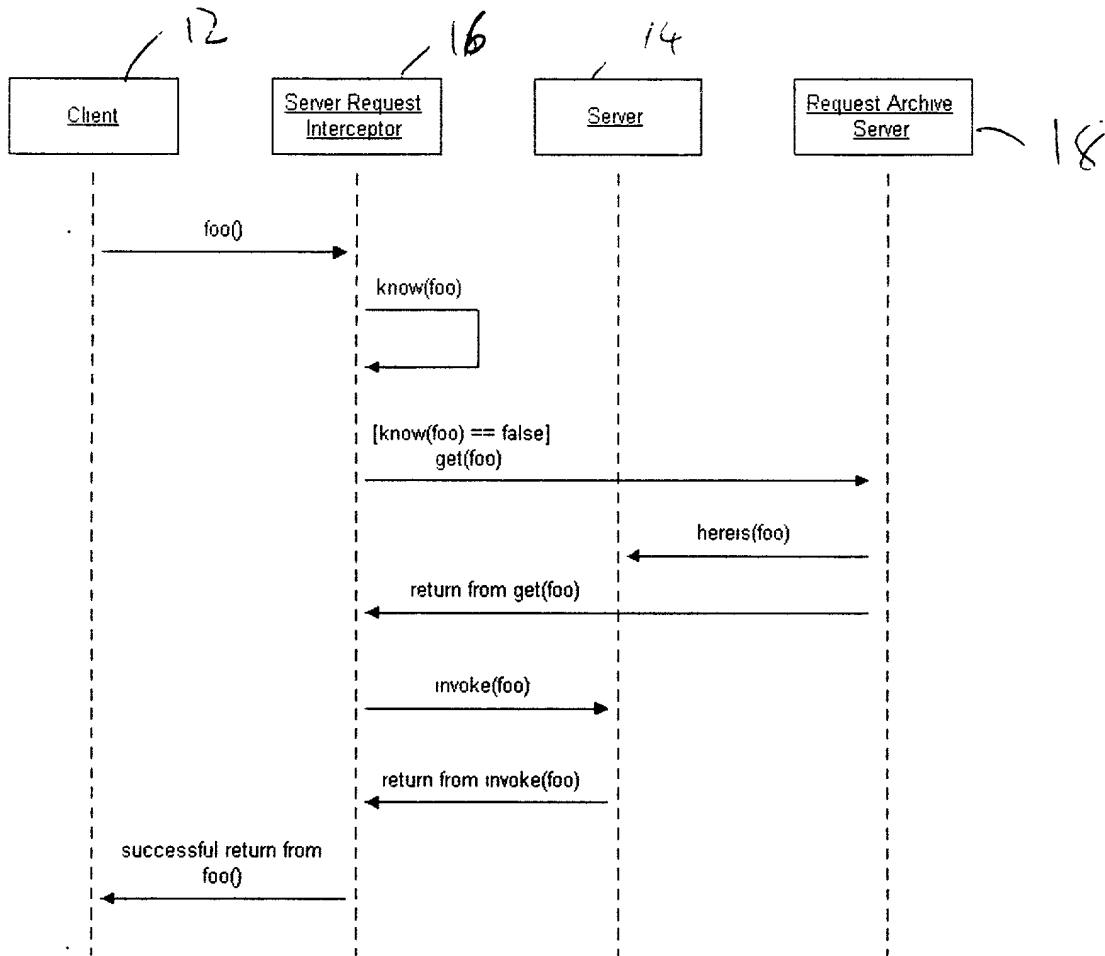


FIG 2

21

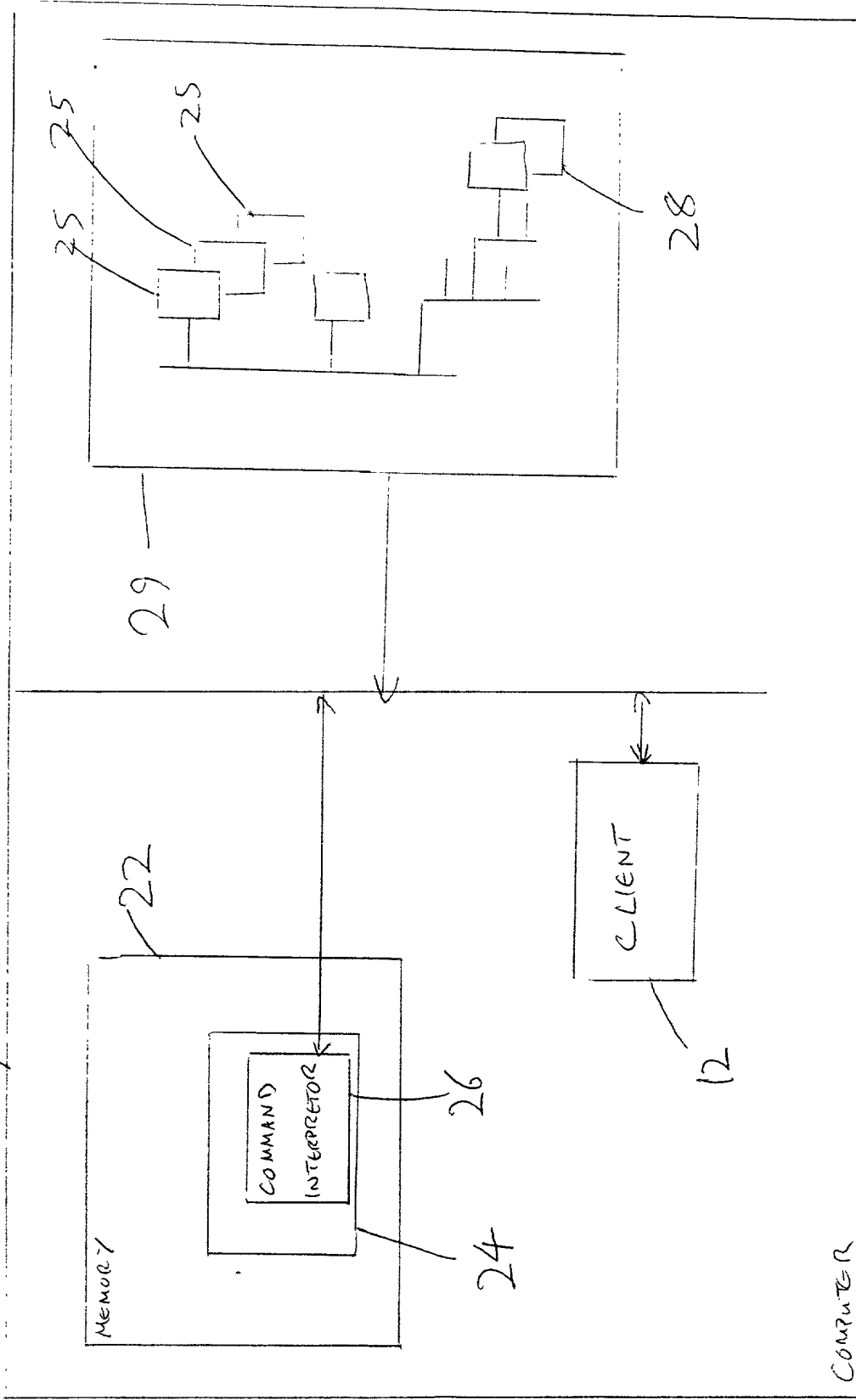


FIG 3A

4/6

FIG 3B

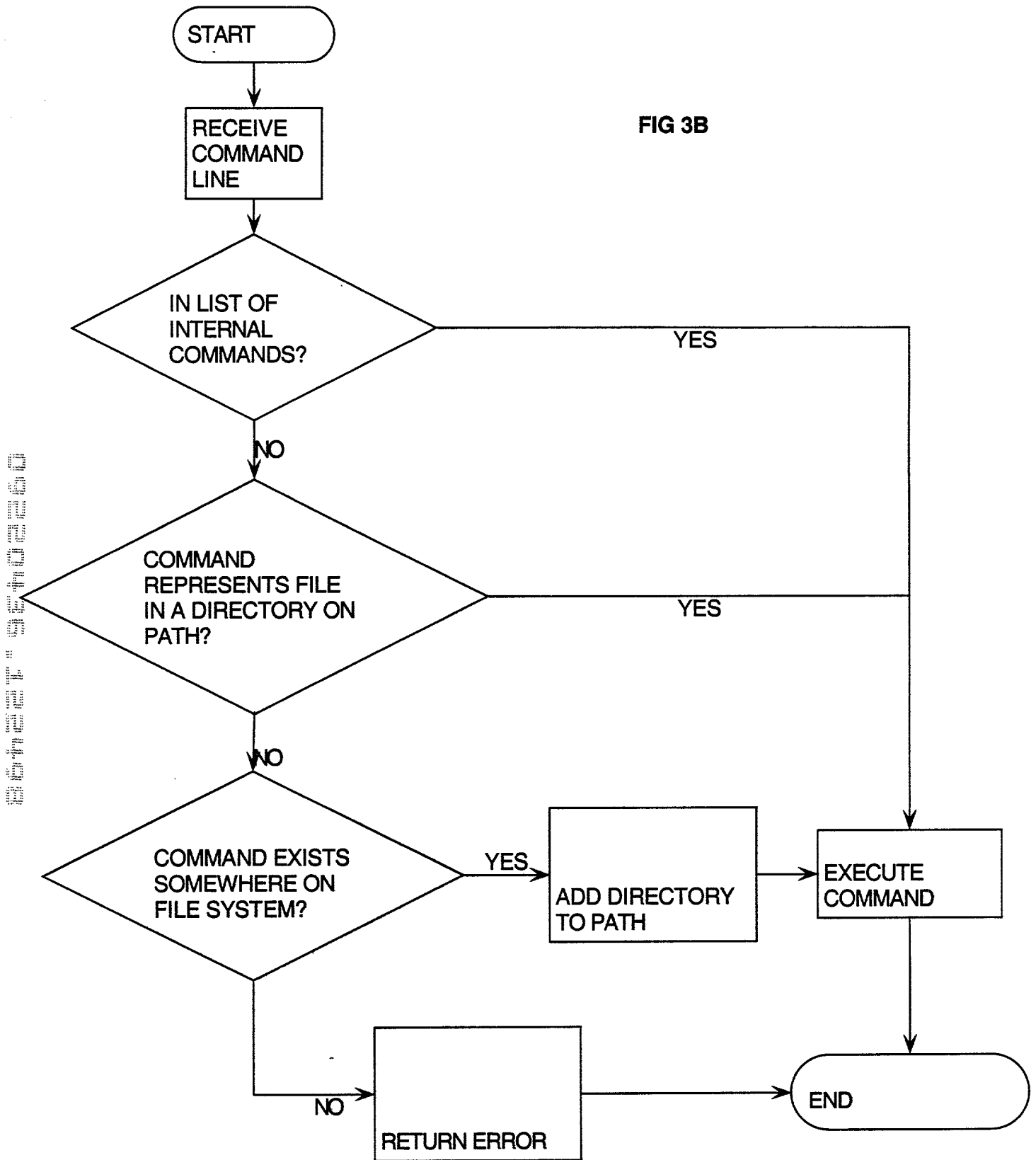
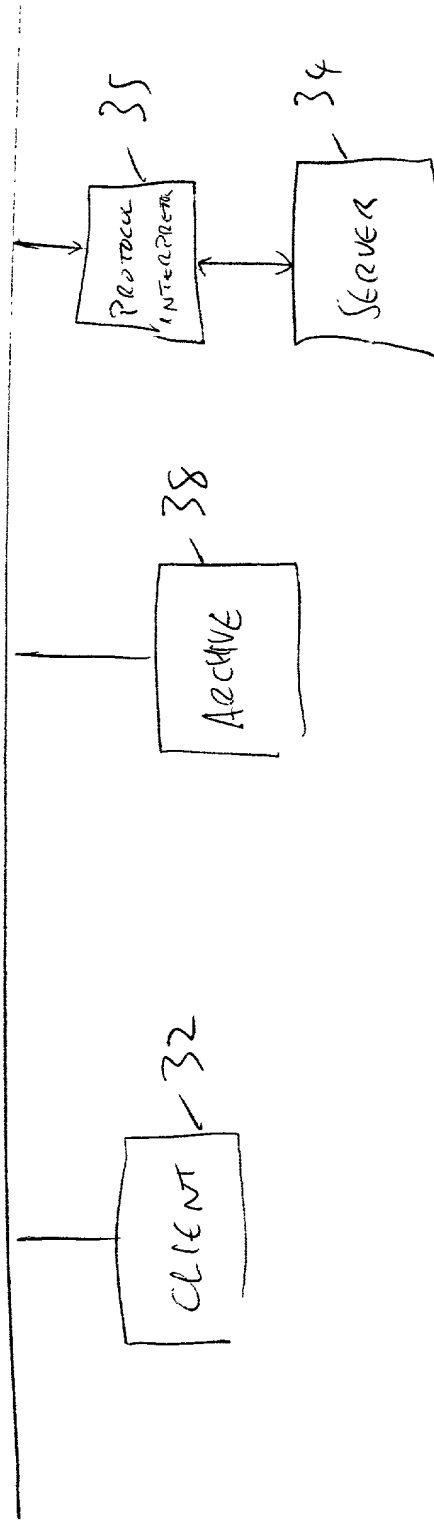
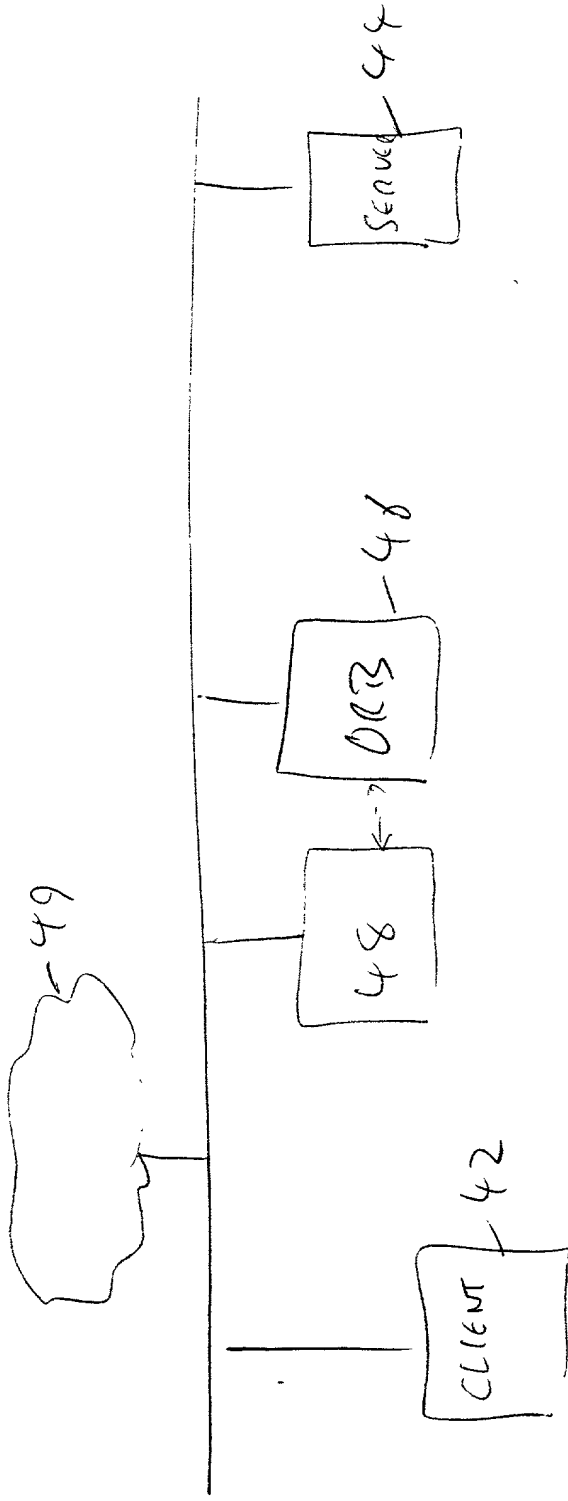


FIG 4

5/6





F16-5

Docket No.

P-5350

# Declaration and Power of Attorney For Patent Application

## English Language Declaration

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name,

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled

### METHOD AND APPARATUS FOR DYNAMIC COMMAND EXTENSIBILITY IN AN INTELLIGENT AGENT

the specification of which

(check one)

☒ is attached hereto.

☐ was filed on \_\_\_\_\_ as United States Application No. or PCT International Application Number \_\_\_\_\_ and was amended on \_\_\_\_\_ (if applicable)

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose to the United States Patent and Trademark Office all information known to me to be material to patentability as defined in Title 37, Code of Federal Regulations, Section 1.56.

I hereby claim foreign priority benefits under Title 35, United States Code, Section 119(a)-(d) or Section 365(b) of any foreign application(s) for patent or inventor's certificate, or Section 365(a) of any PCT International application which designated at least one country other than the United States, listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate or PCT International application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application(s)

Priority Not Claimed

\_\_\_\_\_  
(Number)

\_\_\_\_\_  
(Country)

\_\_\_\_\_  
(Day/Month/Year Filed)

☐

\_\_\_\_\_  
(Number)

\_\_\_\_\_  
(Country)

\_\_\_\_\_  
(Day/Month/Year Filed)

☐

\_\_\_\_\_  
(Number)

\_\_\_\_\_  
(Country)

\_\_\_\_\_  
(Day/Month/Year Filed)

☐

I hereby claim the benefit under 35 U.S.C. Section 119(e) of any United States provisional application(s) listed below:

\_\_\_\_\_  
(Application Serial No.)

\_\_\_\_\_  
(Filing Date)

\_\_\_\_\_  
(Application Serial No.)

\_\_\_\_\_  
(Filing Date)

\_\_\_\_\_  
(Application Serial No.)

\_\_\_\_\_  
(Filing Date)

I hereby claim the benefit under 35 U. S. C. Section 120 of any United States application(s), or Section 365(c) of any PCT International application designating the United States, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT International application in the manner provided by the first paragraph of 35 U.S.C. Section 112, I acknowledge the duty to disclose to the United States Patent and Trademark Office all information known to me to be material to patentability as defined in Title 37, C. F. R., Section 1.56 which became available between the filing date of the prior application and the national or PCT International filing date of this application:

\_\_\_\_\_  
(Application Serial No.)

\_\_\_\_\_  
(Filing Date)

\_\_\_\_\_  
(Status)  
(patented, pending, abandoned)

\_\_\_\_\_  
(Application Serial No.)

\_\_\_\_\_  
(Filing Date)

\_\_\_\_\_  
(Status)  
(patented, pending, abandoned)

\_\_\_\_\_  
(Application Serial No.)

\_\_\_\_\_  
(Filing Date)

\_\_\_\_\_  
(Status)  
(patented, pending, abandoned)

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.



POWER OF ATTORNEY: As a named inventor, I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and transact all business in the Patent and Trademark Office connected therewith. *(list name and registration number)*

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Second inventor's signature	Date
Residence	
Citizenship	
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Third inventor's signature	Date
Residence	
Citizenship	
Post Office Address <b>Platinum Technology, Inc., 2600 Eagan Woods Drive, Suite 410</b>	
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Full name of fourth inventor, if any	
Fourth inventor's signature	Date
Residence	
Citizenship	
Post Office Address	

Full name of fifth inventor, if any	
Fifth inventor's signature	Date
Residence	
Citizenship	
Post Office Address	

Full name of sixth inventor, if any	
Sixth inventor's signature	Date
Residence	
Citizenship	
Post Office Address	